

This Page Is Inserted by IFW Operations  
and is not a part of the Official Record

## **BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning documents *will not* correct images,  
please do not report the images to the  
Image Problem Mailbox.**

PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau

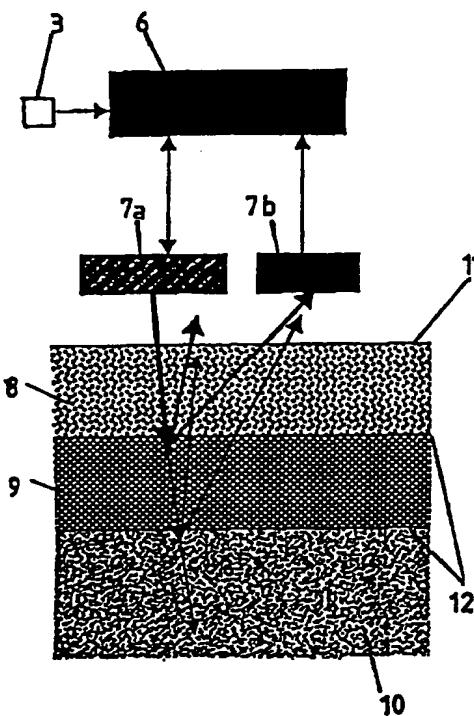
## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification 7 : <b>B61K 9/08, E01B 35/00, G01S 13/88</b>		A1	(11) International Publication Number: <b>WO 00/61419</b> (43) International Publication Date: 19 October 2000 (19.10.00)
(21) International Application Number: <b>PCT/CZ00/00020</b>		(81) Designated States: AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).	
(22) International Filing Date: 23 March 2000 (23.03.00)		Published With international search report.	
(30) Priority Data: PV 1999-1296 13 April 1999 (13.04.99) CZ			
(71) Applicant (for all designated States except US): ČESKÉ DRÁHY, STÁTNÍ ORGANIZACE [CZ/CZ]; Nábreží L. Svobody 1222, 110 15 Praha 1 (CZ).			
(72) Inventors; and			
(75) Inventors/Applicants (for US only): HRUBEC, Karel [CZ/CZ]; Bronzová 2021, 155 00 Praha 5 (CZ). TESÁŘ, Michal [CZ/CZ]; Dělnická 6, 170 00 Praha 7 (CZ). MYNÁŘ, Josef [CZ/CZ]; Třeboradická 1067, 182 00 Praha 8 (CZ).			
(74) Agent: HAKR, Eduard; Traplová Hakr Kubát, Law and Patent Offices, Právnická 24, P.O. Box 38, 170 00 Praha 7 (CZ).			

(54) Title: A METHOD OF DETECTING DEFECTS IN TRACK SUBGRADE AND AN APPARATUS FOR CARRYING OUT THE METHOD

(57) Abstract

Defects in track subgrade, particularly in a rail bed and railway track substructure body are detected by the radar control of subgrade, by continuously recording the permittivity of subgrade materials, while radar beams are transmitted into subgrade at least in two directions and reflected beams are received at least in two points after these beams in track subgrade have travelled different distances. The apparatus for detecting the defects contains the radar antenna system (7), carried by a railway track recording car, including the transmitting and detecting radar antennas (7a, 7b) and another detecting radar antenna (7b) for the reception of reflected signals travelling in different inclined trajectory than the reflected signals returning to the first radar antenna (7a). Radar antennas (7a, 7b) are connected with a radar control and recording unit (6) for recording a time lag between both of the reflected signals and for detecting anomalies in a rail bed and railway track substructure body.



**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece	ML	Mali	TR	Turkey
BG	Bulgaria	HU	Hungary	MN	Mongolia	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MR	Mauritania	UA	Ukraine
BR	Brazil	IL	Israel	MW	Malawi	UG	Uganda
BY	Belarus	IS	Iceland	MX	Mexico	US	United States of America
CA	Canada	IT	Italy	NE	Niger	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NL	Netherlands	VN	Viet Nam
CG	Congo	KE	Kenya	NO	Norway	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NZ	New Zealand	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	PL	Poland		
CM	Cameroon	KR	Republic of Korea	PT	Portugal		
CN	China	KZ	Kazakhstan	RO	Romania		
CU	Cuba	LC	Saint Lucia	RU	Russian Federation		
CZ	Czech Republic	LI	Liechtenstein	SD	Sudan		
DE	Germany	LK	Sri Lanka	SE	Sweden		
DK	Denmark	LR	Liberia	SG	Singapore		
EE	Estonia						

WO 00/61419

1

PCT/CZ00/00020

A method of detecting defects in track subgrade and an apparatus for carrying out the method

Technical Field

5

The invention concerns a method of detecting defects in track substructure, particularly in railway track substructure, including continuous light control and/or contact control of railway track superstructure as well as continuous radar control of the rail body of railway track substructure. The invention also concerns an apparatus for carrying out this 10 method, containing a mobile carrier of the recording system, equipped with a reader of a distance travelled by a carrier on track, with a device for recording parameters of railway track travel and with a radar apparatus for control of the condition of railway track subgrade.

15 Background of the invention

The following are known so far: railway track superstructure recording car, containing railway track pulse reader which monitors a distance travelled and provides requested sampling frequency of individual recording apparatuses, and recording undercarriage 20 carrying electromechanical position sensor for recording geometric parameters of railway track superstructure, i.e. superelevation and direction of stretches of rails, railway track gauge and rail warping, the output of which is connected to input of the recording and control unit for recording geometric parameters of a rail.

25 The purpose of the invention is to sort out the method and the apparatus of detecting defects of not only railway track superstructure, but also substructure, as numerous defects of railway track superstructure are caused by railway track substructure defects. The invention should also be applicable to other than railway track structures.

30 Summary of the Invention

This task has been resolved by a method of detecting defects in track subgrade, particularly in railway track substructure body, according to the invention serving for the

WO 00/61419

2

PCT/CZ00/00020

radar control of subgrade; the essence of the invention lies in the fact that the radar control of track subgrade includes continuous recording of subgrade, effected by transmitting radar beams into subgrade at least in two directions and by receiving reflected beams at least in two points after these beams in subgrade have travelled 5 distances of varying lengths.

A preferred embodiment of the method according to the invention lies in the fact that the radar control of track subgrade is effected simultaneously and in synchronization with the light and/or contact control of track travel area, particularly railway track 10 superstructure.

The invention concerns also an apparatus the essence of which lies in the fact that the radar apparatus for control of the condition of subgrade contains a system of radar antennas with at least one radar antenna. This system is connected to the second output 15 of the radar control and recording unit, the first input of which is connected to by one of the outputs of interconnecting link. This link's input is connected to by a reader of longitudinal position of a mobile carrier of a recording system on track, while its another input is connected to the recording and control unit for recording geometric and physical parameters of track travel area.

20

A preferred embodiment of the apparatus in accordance with this invention lies in the fact that a system of radar antennas contains a transmitting radar antenna with axis oriented to subgrade and connected with the radar control and recording unit output, and at least one detecting radar antenna, connected with another input of the radar control 25 and recording unit and located in adjusted space-gap next to a transmitting radar antenna for receiving a component of radar signals reflected from material boundaries in track subgrade.

In a particular advantageous embodiment of the apparatus according to the invention, a 30 system of radar antennas and the radar control and recording unit are carried by a railway track recording car which is equipped with railway track pulse reader for recording longitudinal position of the arrangement on track and with electromechanical position detector for recording geometric and physical parameters of track surface

formed by railway track superstructure. Railway track pulse reader is connected via interconnecting link with the recording and control unit for recording geometric parameters of a rail, and interconnecting link is further connected with the radar control and recording unit input.

5

The advantage of a solution according to the invention is particularly the fact that in interpreting the results of radar detections it is possible immediately to correlate the results with standard results gained by the track recording car. It means that defects of geometric parameters of a rail can be adjoined to also by a reason for defect, usually 10 consisting in disturbance of a certain part of sleeper subgrade and railway track substructure body, caused for example by subsidence process or by contamination of certain areas of ballast and subgrade layers. In addition, location of such defect, given by longitudinal and depth data, can also be determined. This leads to repairs of defects 15 optimizing, as defective (disturbed) points in railway track substructure by applying the method and the apparatus according to the invention can be registered earlier than they show up in the quality of railway track superstructure.

The method and the apparatus according to the invention allow simultaneous recording 20 of railway track superstructure and substructure parameters. Both types of recording are exactly bound to each other, therefore the relation found between defects of geometric parameters of a rail and a rail body and railway track substructure can be determined with high accuracy. The monitoring of rail substructure – from the time viewpoint – is thus determined exactly. The application of radar recording by the apparatus according 25 to the invention can increase operational speed of radar motion from current 10 – 15 km/h to as much as 70 – 140 km/h, depending on a type of track recording car.

#### Brief description of the drawings

The invention will be explained in detail with the application of embodiment examples 30 made on drawings where they illustrate the following:

Fig. 1: Block diagram of the apparatus serving for executing the method applied to the detection of railway track superstructure and substructure defects,

Fig. 2: Section through the first example of embodiment of antennas and their connection to the control and recording unit in the apparatus from Fig. 1, and

5 Fig. 3: Section through the second example of embodiment of antennas and their connection to the control and recording unit in the apparatus from Fig. 1.

### Examples

10 The apparatus for detecting defects in track superstructure and substructure is in the illustrated particular embodiment example arranged for detecting defects in railway track superstructure and substructure, represented in railway track superstructure by defects in geometric parameters of a rail, and in railway track substructure by deformations of a rail bed and construction layers of railway track superstructure body that are or will be in  
15 future the reason for changes of geometric parameters of a rail.

The apparatus according to the invention includes the track recording car 1, the undercarriage of which is fitted with railway track pulse reader 2, by which the distance travelled by the track recording car 1 is recorded, and its immediate position on track  
20 determined. The railway track pulse reader 2 output is connected via interconnecting link 3 and its first output with one input of the recording and control unit 4 for detecting and recording geometric parameters of a rail. The second input of the recording and control unit 4 is connected to by electromechanical position detector 5, fixed on the recording undercarriage of the track recording car 1 and recording geometric parameters of railway track superstructure 11, i.e. superelevation and direction of stretches of rails, railway track gauge and rail warping.  
25

As mentioned earlier, railway track pulse reader 2 in this example of embodiment according to the invention is connected with the recording and control unit 4 for detecting geometric parameters of a rail via interconnecting link 3, the second output of which is connected to the first output of the radar control and recording unit 6. The radar control and recording unit 6 has its outputs and inputs connected to the radar antenna system 7 for detecting the condition of railway track substructure, particularly  
30

WO 00/61419

PCT/CZ00/00020

5

the subsidence of rail bed layers and construction layers of railway track substructure body.

5 The radar antenna system 7 in the first embodiment example, illustrated on Fig. 2, is formed by the first radar detecting antenna 7a which transmits a radar signal into sleeper subgrade consisting of top ballast layer 8 containing unillustrated sleepers, subgrade construction layer 9, and compacted soil base 10. The first radar detecting antenna 7a is oriented in standard direction to railway track superstructure surface 11 and connected to the first input of the radar control and recording unit 6. The second radar detecting antenna 7b, connected with the second input of the radar control and recording unit 6, is located in exactly determined lateral space gap from the first radar detecting antenna 7a 10 and in the same height above railway track superstructure surface 11.

15 The first radar detecting antenna 7a transmits a radar signal into sleeper subgrade and in this first arrangement example also intercepts reflected standard signal which is transferred to the radar control and recording unit 6. These registered values cannot serve for an explicit assessment of the railway track substructure condition as such values would have to be corrected by values of relative permittivity of materials contained in sleeper subgrade, it means top ballast layer 8, construction layer 9 and soil 20 forming soil base 10.

In order to find out in the easiest manner the values of relative permittivity of materials forming railway track substructure, the second radar detecting antenna 7b is applied. This antenna intercepts inclined components of reflected radar beams that are 25 transmitted from the first radar detecting antenna 7a in direction deflected at angle of approx. 30° from longitudinal central axis of the first radar detecting antenna 7a which is a transmitting antenna, so the beams travel in trajectory inclined at angle of approx. 60° to longitudinal axis of a rail to a beam reflection point from which the beams are reflected, and return in reflected direction at angle of 30° – 45° contained with 30 longitudinal axis of a rail to the second radar detecting antenna 7b. A radar signal arrives to this antenna with time lag depending on the one hand on the extension of its trajectory and on the other hand on relative permittivity of railway track substructure materials. Radar beams are reflected on material boundaries 12 between top ballast layer 8,

WO 00/61419

PCT/CZ00/00020

6

construction layer 9 and soil base 10, while rather a sudden change of distance of at least some of the material boundaries from the radar antenna system 7 indicates subsidence of subgrade layers and thus a local defect of railway track substructure. These intercepted reflected signals are transferred to the radar control and recording unit 6, where 5 reflections intercepted by the first radar detecting antenna 7a are compared with reflections intercepted by the second radar detecting antenna 7b, and the results of comparison with the use of inserted memory device can serve for the determination of values of relative permittivity of railway track substructure materials.

10 The second embodiment example of the radar antenna system 7 of the apparatus according to the invention, illustrated on Fig. 3, includes the separate transmitting radar antenna 7d, connected to the radar control and recording unit 6 output, the second radar detecting antenna 7b and the third separate radar detecting antenna 7c. All three antennas of the radar antenna system 7 are located in plane which is in parallel with axis of a rail, 15 in positions being in determined space gaps from each other, the third radar detecting antenna 7c being located in bigger distance from the transmitting radar antenna 7d than the second radar detecting antenna 7b, and this difference in distances must be sufficient enough so that a time lag between arrival of radar signals from individual material boundaries to the second radar detecting antenna 7b and to the third radar detecting 20 antenna 7c could be detected reliably. Both of the radar detecting antennas 7b and 7c are connected to two inputs of the radar control and recording unit 6 in which with the use of its programme equipment the values of relative permittivity of a rail bed and railway track substructure body can be determined.

WO 00/61419

7

PCT/CZ00/00020

## CLAIMS

1. A method of detecting defects in track subgrade, particularly of a rail bed and railway track substructure body, including light control and/or contact control of track travel area  
5 as well as continuous radar control of track subgrade, characterized in that the radar control of track subgrade includes continuous recording of permittivity of subgrade materials, effected by transmitting radar beams into subgrade at least in two directions and by receiving reflected beams at least in two points after these beams after reflection in track subgrade have travelled distances of varying lengths.

10

2. The method according to claim 1, characterized in that the radar control of track substructure is effected simultaneously and in synchronization with the light and/or contact control of track travel area, particularly railway track superstructure.

15

3. An apparatus for carrying out the method according to claims 1 and 2, including a mobile carrier of the recording system, equipped with a reader of a distance travelled by a carrier on track, with a device for recording parameters of railway track travel and with a radar apparatus for control of the track subgrade condition, characterized in that the radar apparatus for control of the subgrade condition contains the radar antenna system (7) with at least one radar antenna (7a, 7d), this system being connected to the second output of the radar control and recording unit (6), the first input of which is connected to one of the outputs of interconnecting link (3), and this link's input is connected to a reader (2) of longitudinal position of a mobile carrier of a recording system on track, while its another output is connected to the recording and control unit (4) for recording geometric and physical parameters of track travel area.

25

4. The apparatus according to claim 3, characterized in that the radar antenna system (7) contains a transmitting radar antenna (7a, 7d) with axis oriented to subgrade and connected with the radar control and recording unit (6) output, and at least one detecting radar antenna (7b, 7c), connected with another input of the radar control and recording unit (6) and located in adjusted time-gap next to a transmitting radar antenna (7a, 7d) for receiving a component of radar signals reflected from material boundaries in track subgrade.

WO 00/61419

8

PCT/CZ00/00020

5. The apparatus according to claims 3 and 4, characterized in that the radar antenna system (7) and the radar control and recording unit (6) are carried by a railway track recording car (1) which is equipped with railway track pulse reader (2) for recording longitudinal position of the arrangement on track and with electromechanical position detector (5) for recording geometric and physical parameters of track surface formed by railway track superstructure, while railway track pulse reader (2) is connected via interconnecting link (3) with the recording and control unit (4) for recording geometric parameters of a rail, and interconnecting link (3) is further connected with the radar control and recording unit (6) input.

WO 00/61419

PCT/CZ00/00020

1/1

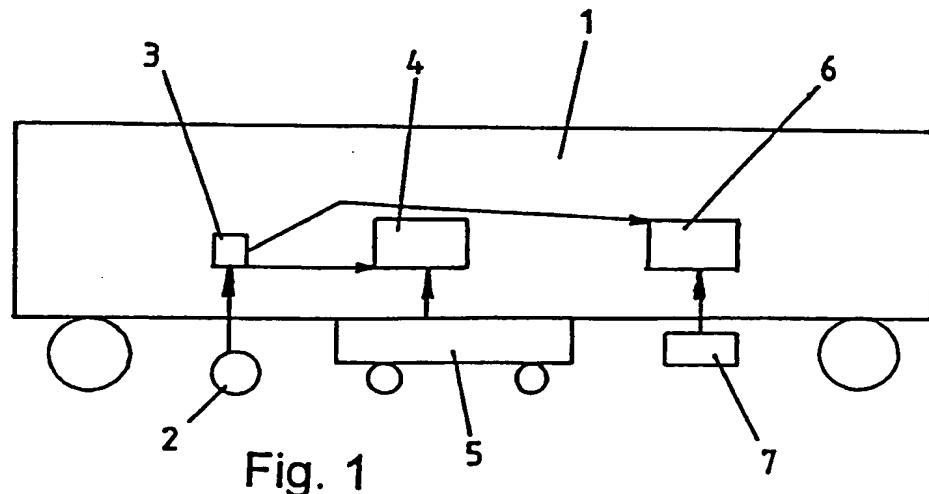


Fig. 1

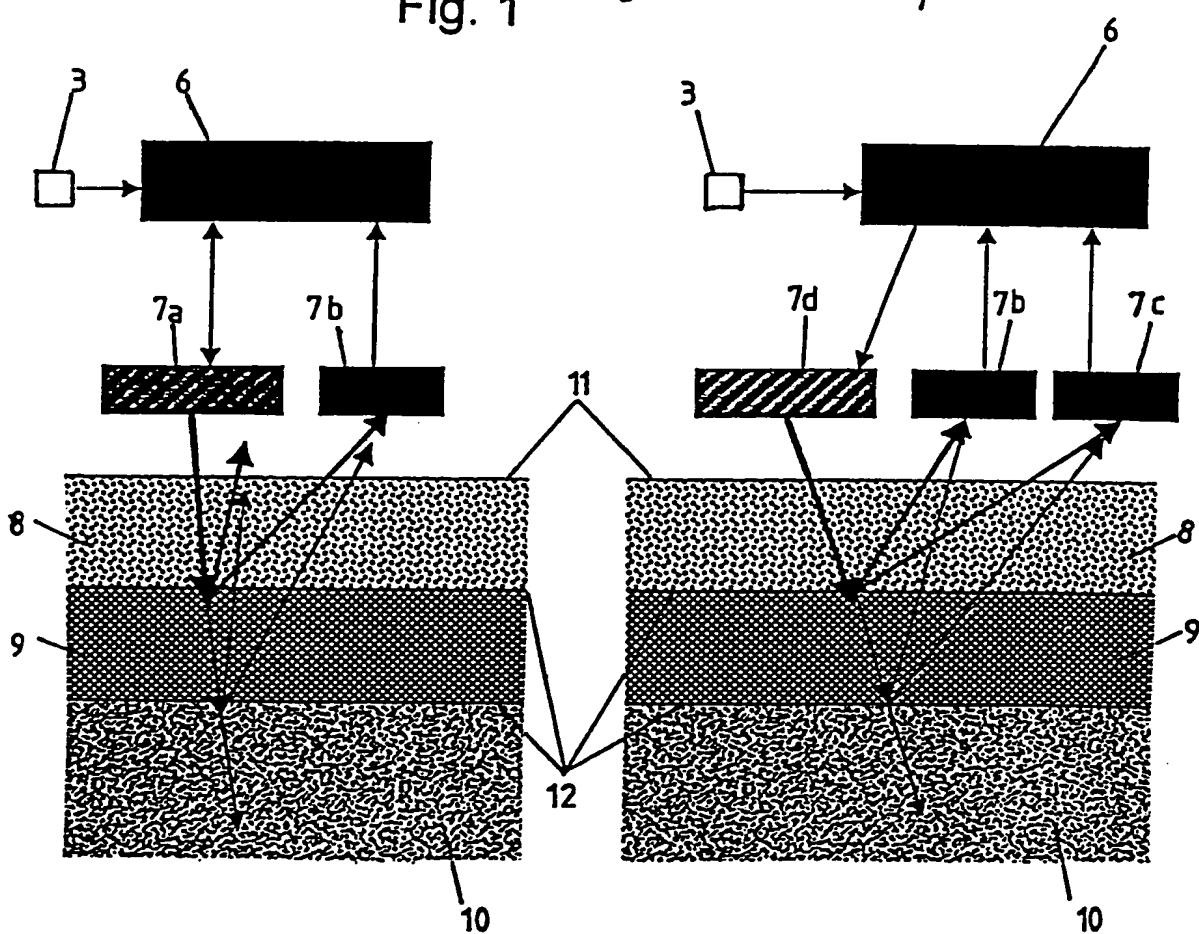


Fig. 2

Fig. 3

## INTERNATIONAL SEARCH REPORT

Intern. Appl. No.  
PCT/CZ 00/00020

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 7 B61K9/08 E01B35/00 G01S13/88

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 7 B61K B61D B61L E01B G01S

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	DE 43 40 254 A (GOEBEL CLAUS PROF DR ;HELLMANN RENE DIPL ING (DE); PETZOLD HELLFRI) 1 June 1995 (1995-06-01) the whole document ---	1,3
A	US 3 924 461 A (STOVER HARRIS A) 9 December 1975 (1975-12-09) column 2, line 4 -column 4, line 16 column 6, line 64 -column 7, line 19; figures 1-14 ---	1,3
A	US 4 207 569 A (MEYER JACK R) 10 June 1980 (1980-06-10) column 6, line 53 -column 8, line 35; figures 3-5 ---	1,3 -/-

Further documents are listed in the continuation of box C.

Patent family members are listed in annex.

## \* Special categories of cited documents :

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

- \*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- \*Z\* document member of the same patent family

Date of the actual completion of the international search

13 June 2000

Date of mailing of the international search report

20/06/2000

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl.  
Fax: (+31-70) 340-3016

Authorized officer

Chlosta, P

## INTERNATIONAL SEARCH REPORT

Intern. Appl. Application No  
PCT/CZ 00/00020

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO 97 07416 A (PENNOCK STEPHEN RAYMOND ; REDFERN MILES ALEXANDER (GB); LONDON ELEC) 27 February 1997 (1997-02-27) page 13, line 46 -page 15, line 6; figures 1-4 -----	1, 3

## INTERNATIONAL SEARCH REPORT

Information on patent family members

Intern. Appl. No  
PCT/CZ 00/00020

Patent document cited in search report	Publication date	Patent family member(s)			Publication date
DE 4340254	A 01-06-1995	NONE			
US 3924461	A 09-12-1975	NONE			
US 4207569	A 10-06-1980	NONE			
WO 9707416	A 27-02-1997	GB 2304483 A	19-03-1997	EP 0845109 A	03-06-1998
		JP 11511254 T	28-09-1999	US 6002357 A	14-12-1999